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JC903 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

Under Small Entity Status  
(New Nonprovisional Applications Under 37 CFR § 1.53(b))

Attorney Docket No.

**LEX-0035-USA**

## TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is the patent application of ( ) application identifier or (X) first named inventor, C. Alexander Turner, Jr., entitled Novel Human Proteins and Polynucleotides Encoding the Same, for a(n):

(X) Original Patent Application.

( ) Continuing Application (prior application not abandoned):

( ) Continuation ( ) Divisional ( ) Continuation-in-part (CIP)  
of prior Application No. \_\_\_\_\_, filed on \_\_\_\_\_.

(X) A statement claiming priority under 35 USC § 119 has been added to the specification.

### Enclosed are:

(X) Specification; 25 Total Pages. ( ) Drawing(s);    Total Sheets.

(X) Oath or Declaration:

( ) A Newly Executed Combined Declaration and Power of Attorney:

( ) Signed. (X) Unsigned. ( ) Partially Signed.

( ) A Copy from a Prior Application for Continuation/Divisional (37 CFR § 1.63(d)).

( ) Incorporation by Reference. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.

( ) Signed Statement Deleting Inventor(s) Named in the Prior Application. (37 CFR § 163(d)(2)).

( ) Power of Attorney.

(X) Return Receipt Postcard.

( ) Associate Power of Attorney.

( ) A Check in the amount of \$ \_\_\_\_\_ for the Filing Fee.

( ) Preliminary Amendment.

( ) Information Disclosure Statement and Form PTO-1449.

( ) A Certified Copy of Priority Documents (if foreign priority is claimed).

(X) Statement(s) of Status as a Small Entity.

( ) Statement(s) of Status as a Small Entity Filed in Prior Application, Status Still Proper and Desired.

(X) Other: Sequence Listing - 3 pages

### CLAIMS AS FILED

FOR	NO. FILED	NO. EXTRA	RATE	FEE
Total Claims	6	0	\$9.00	\$0.00
Independent Claims	6	3	\$39.00	\$117.00
Multiple Dependent Claim Fee (if applicable)				\$0.00
Assignment Recording Fee (if applicable)				\$0.00
Basic Filing Fee				\$345.00
Total Filing Fee				\$462.00

Please charge \$ 462.00 to Deposit Account No. 50-0892 pursuant to 37 CFR § 1.25. At any time during the pendency of this application, the Commissioner is hereby authorized to charge any fees required or credit any overpayment to this Deposit Account. A duplicate copy of this sheet is enclosed for fee processing against this Deposit Account.

Respectfully submitted,

By:

Lance K. Ishimoto  
Lance K. Ishimoto, Attorney of Record, Reg. No. 41866

Date: August 18, 2000

Correspondence Address:



**24231**

PATENT TRANSMISSION OFFICE

I hereby certify that this is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

By:

Mary K. Shaver  
Typed Name: Mary K. Shaver

Express Mail Label No.: EL584856990US

Date of Deposit: August 18, 2000

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**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c)) – SMALL BUSINESS CONCERN**

Docket Number (Optional)  
**LEX-0035-USA**

Applicant, Patentee, or Identifier: C. Alexander Turner, Jr. et al.

Application or Patent No.: \_\_\_\_\_

Filed or Issued: August 18, 2000

Title: Novel Human Proteins and Polynucleotides Encoding the Same

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Lexicon Genetics Incorporated

ADDRESS OF SMALL BUSINESS CONCERN 4000 Research Forest Drive The Woodlands, TX 77381

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ No such persons, concerns, or organizations exist.  
☐ each such person, concern, or organization is listed below:


Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Lance K. Ishimoto

TITLE OF PERSON IF OTHER THAN OWNER Vice President - Intellectual Property

ADDRESS OF PERSON SIGNING 4000 Research Forest Drive, The Woodlands, TX 77381

SIGNATURE   
Reg. No. 41,866

DATE August 18, 2000